

FIG. 1

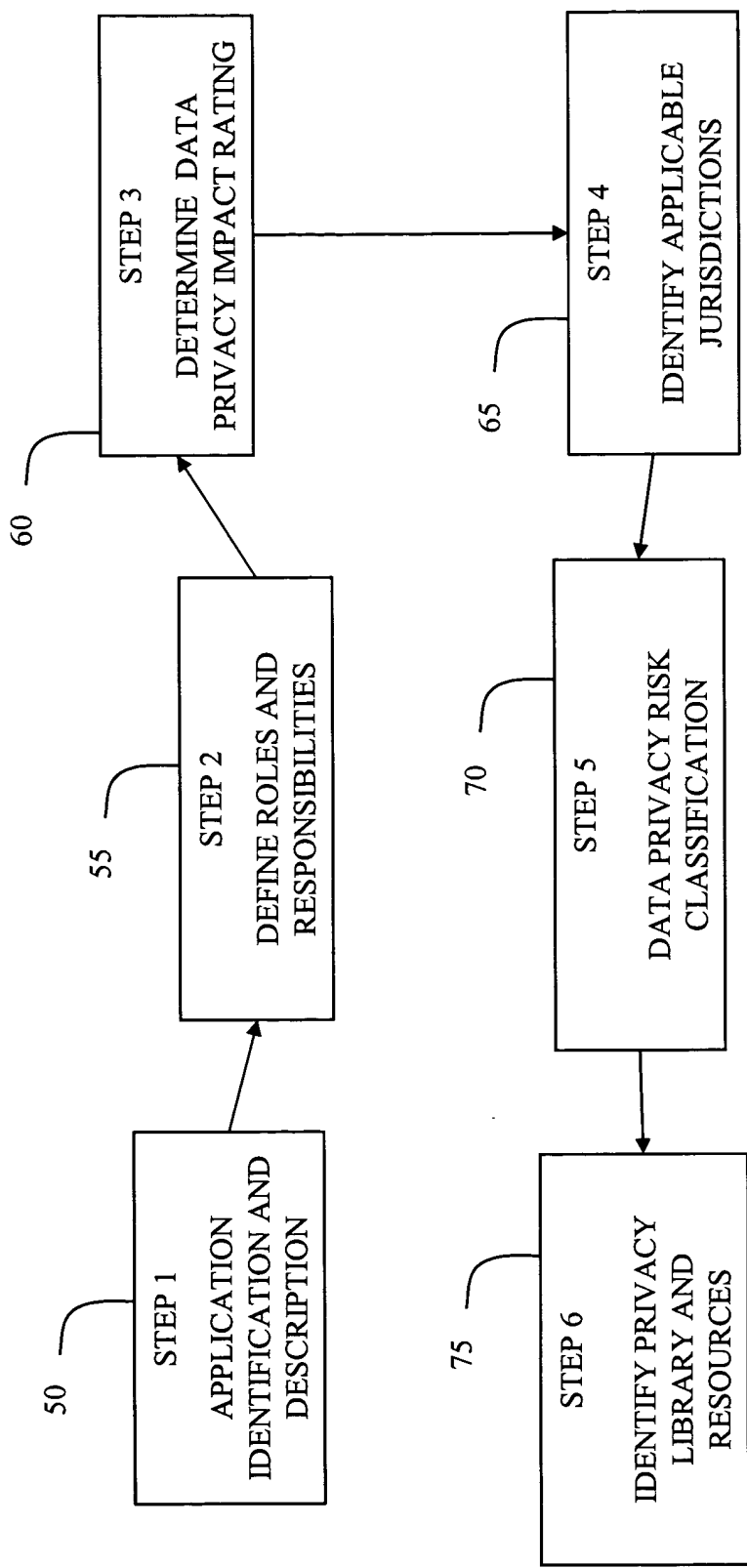


FIG. 2

80

Step 1	
Note: Applications which are in Development, UAT, or Retired will not be calculated into the Line of Business state of health.	
85	Name Application Control Policy
90	Description Testing the application control policy
95	Please Provide location of production Server 1985 Marcus Avenue <input type="button" value="Select"/> 100
105	Please Provide location of Development Server 1985 Marcus Avenue <input type="button" value="Select"/>
110	Please Provide location of Q/A Server 270 Park Avenue <input type="button" value="Select"/>
115	Is your application in : <input type="radio"/> Development <input type="radio"/> User Acceptance Testing <input checked="" type="radio"/> Production <input type="radio"/> Retired

FIG. 3

150					
160	PRIMARY ROLES				
165	Assigned by	170	Assigned to	175	Date Accepted
155	Role	Data Privacy Owner	2002-08-14 18:10:55.0	Marin Ursu	2002-08-14 18:11:02.0
185	Data Privacy Risk Manager	IRM admin	2002-07-01 09:50:11.0	IRM admin	2002-07-01 09:50:11.0
160	ALTERNATE ROLES				
165	Assigned by	170	Assigned to	175	Date Accepted
190	Role	Data Privacy Risk Manager	2002-07-08 16:10:23.0	IRM admin	2002-07-08 16:10:23.0
195	Data Privacy Risk Manager	IRM admin	2002-08-20 16:48:20.0	Tara Dicitio	
200	Data Privacy Risk Manager	IRM admin	2002-08-20 16:47:23.0	IRM admin	2002-08-20 16:47:23.0
205	Data Privacy Risk Manager	IRM admin	2002-07-08 16:15:47.0	Marin Ursu	
Back To Data Privacy Steps					

FIG. 4

250
260 265 270 275 280 285 290

Please indicate the type(s) of sensitive information this application contains.	Process	Transmit	Collect	Store	Customer Info	Employee Info	N/A
255 Social Security Number	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
295 Health Related Information • Some examples include: medical records, dental records	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
300 Compensation • Some examples include: stock options, bonus, incentives, payroll information	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
305 Contributions / Donations • Some examples include: United Way, Blood Drives, College Funds	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
310 Performance information • Some examples include: performance review, performance rating	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
315 Tuition Reimbursement information • Some examples include: grades, courses taken	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
320 License / Certification information • Some examples include: financial licenses, insurance certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
325 Work Experience Information • Some examples include: background checks, references, resumes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
330 Association / Committee affiliate information • Some examples include: membership in employee networking groups, membership in external groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
335 Bio - metric information • Some examples include: fingerprints, hand scans, face scans, retinal scans, DNA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

345
350 355 360

Submit
Reset
1 2 3 Next

Customer Data Privacy Impact Rating HIGH
 Employee Data Privacy Impact Rating HIGH

FIG. 5

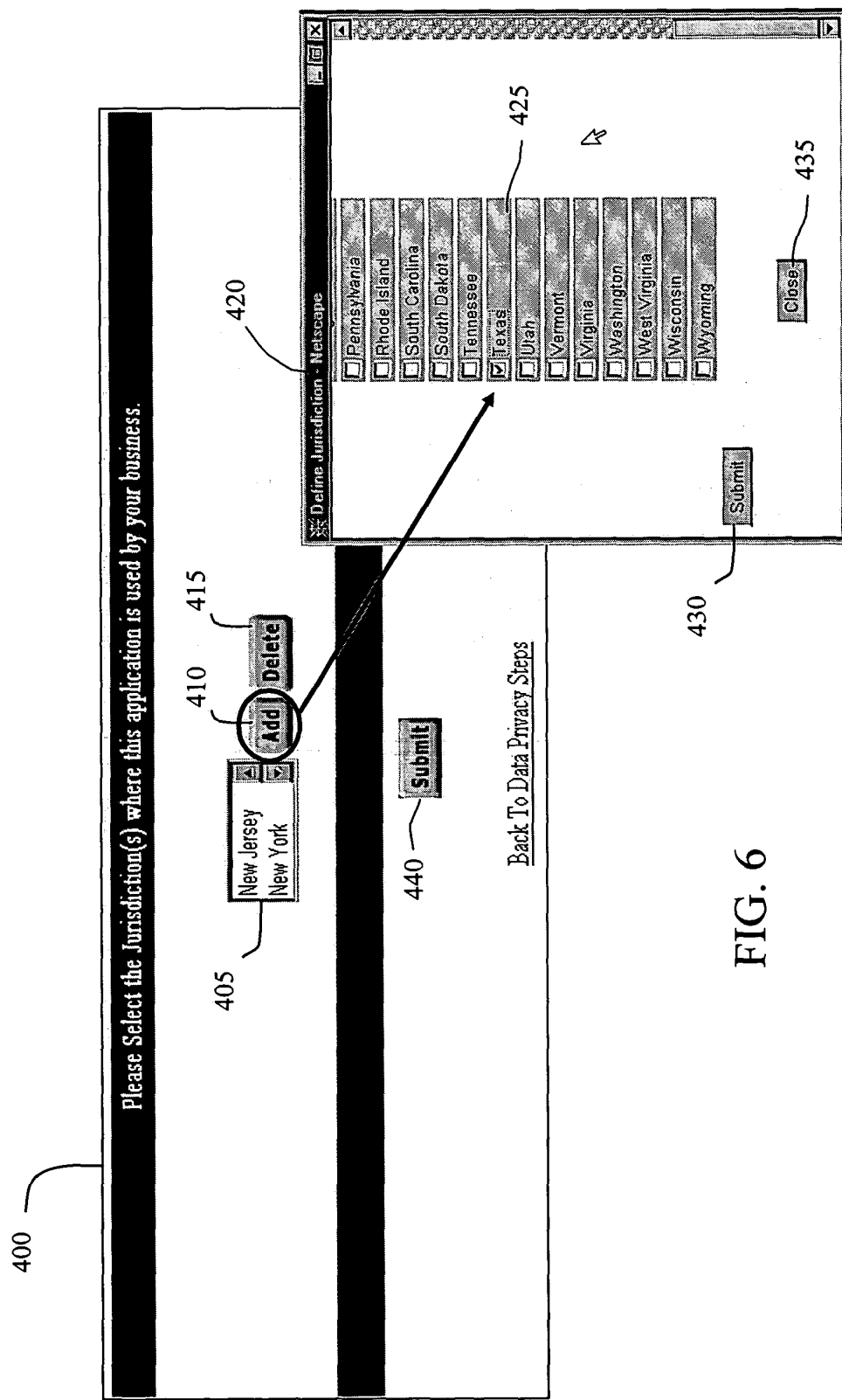


FIG. 6

500

Please Select a Category

505	<input type="checkbox"/> <u>Customer Servicing Processes</u>	510
515	<input type="checkbox"/> <u>Data Destruction and Disposal Procedures</u>	
	<input type="checkbox"/> <u>Data Extraction and Modification</u>	520
525	<input type="checkbox"/> <u>Development and QA/UAT Environments Processes</u>	
	<input type="checkbox"/> <u>Encryption Practices</u>	530
535	<input type="checkbox"/> <u>Outside Service Provider Practices</u>	
	<input type="checkbox"/> <u>Related Applications and Processes</u>	
	<input type="checkbox"/> <u>Website Practices</u>	540

FIG. 7

550

Chase Auto Finance | Application Control Policy - | Customer Servicing Processes

560
565
570

555

	Yes	No	N/A	Comments/Process
Are customer service agents trained to safeguard the information they have access to from social engineering tactics? If so Please attach the procedure / awareness documentation.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Are customer service agents trained to not to enter sensitive information into comment fields that may not require authorization? If so Please attach the procedure / awareness documentation.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Are there procedures that define what a customer service agent may deliver from this application to customers and/or employees via the E-Mail contact channel? If so Please attach the procedure / awareness documentation.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	RA
Are there procedures that define what a customer service agent may deliver from this application to customers and/or employees via the Fax contact channel? If so Please attach the procedure / awareness documentation.	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	CAP
Are there procedures that define what a customer service agent may deliver from this application to customers and/or employees via the Fax contact channel? If so Please attach the procedure / awareness documentation.	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	

Submit
Reset

Back to Categories

575

FIG. 8

Senior Business Executive	Line of Business	Retail & Middle Market Financial Services Status			
		Data Privacy	Corrective Action Plan	Risk Acknowledgment	Major Control Issues
Norman Buchan	Chase Auto Finance	☑	☑	☑	☑
Richard Srednicki	Chase Cardmember Services	☐	☐	☐	☐
Steve Rotella	Chase Home Finance	☑	☑	☐	☐
Frank Lourenco	Commercial Banking Middle Market	☐	☐	☐	☐

FIG. 9

BRM	
Compliant	☐
In Progress	▲
Not Compliant with Compensating Controls	◆
Not Compliant	▼
Not Assigned	○
Not Applicable	■
CAP or Risk Ack. in place	⊙
No CAP or Risk Ack. in place	⊖

FIG. 10

705		710		715		720		725	730	735	740
Application Name	Information Owner	Data Privacy Status				Data Privacy Corrective Action Plan	Data Privacy Risk Acknowledgment	Data Privacy Major Control Issue			
		Customer Data Privacy Impact Rating	Employee Data Privacy Impact Rating	Data Privacy							
Production Applications											
<u>Application Control Policy</u>	<u>Christine O'Connor</u>	HIGH	HIGH								
<u>Application Test Continuity</u>	trainee trainee	HIGH	HIGH								
<u>Prod Test</u>											
<u>Risk Acknowledgment UAT</u>	<u>Tara Dicitlio</u>	HIGH	HIGH								
<u>SLH Production Application</u>		HIGH	HIGH								
<u>SLH Test Appl</u>	<u>Susan L. Hale</u>	HIGH	HIGH								

FIG. 11

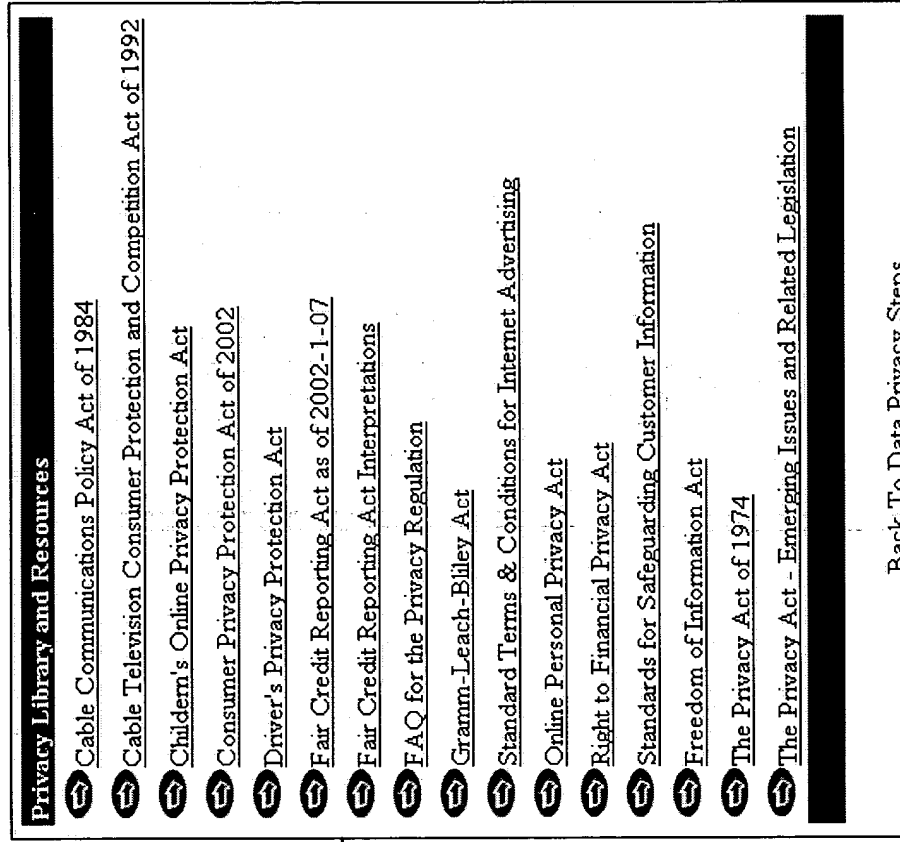


FIG. 12